

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE



## FILING COMPLETION UNDER RULE 53(f)

( NOT PCT Applications)  
For Design, Provisional, or Utility Applications

PATENT  
APPLICATION

**COMPLETION Under**  
**Rule 53(f)**

In re PATENT APPLICATION of

Inventor(s): RASSOOL et al.

Appln. No.: 09 988,824  
Series Code  $\uparrow$  Serial No.  $\uparrow$

Attn: Application Division  
Atty.Dkt. P 271178  
M# Client Ref

Filed: November 20, 2001

Title: MEDIA TRACKING SYSTEM AND METHOD

Hon. Commisioner of Patents  
Washington,DC 20231

Date: March 28, 2002

Sir:

The following completes the filing under Rule 53(f) of the above-identified patent application:

1. **Notice to File Missing Parts** ☒ copy attached ☐ not yet received  
2. ☒ Signed Declaration attached. ☒ Original ☐ Facsimile/Copy

(Always "X" box 2 if filing signed Declaration and

"X" box 2A only if top box of the Declaration is X'd and file application copy, or"X" box 2B only if none of the top three boxes of the Declaration is X'd.)

- 2A. ☐ Attached: Original signed Declaration with attached specification (including claim(s)) which is a copy of specification and claim(s) originally filed to secure the above filing date.  
2B. ☒ The original application as filed in the PTO on the above filing date is the application which each inventor executed by signing the attached Rule 63 Declaration.  
3. ☐ Specification originally filed in non-English language; hence verified translation attached of:  
a. ☐ Abstract  
b. ☐ #          pages of Specification(only spec. & claims)  
c. ☐ Drawing(s)          No of Sheets  
☐ Fig(s).           
4. ☐ Letter filing formal drawing attached.

5. ☒ Attached is an assignment and cover sheet. Please return the recorded assignment to the undersigned.  
6. DOMESTIC/INTERNATIONAL priority is claimed under 35 USC 119(e)/120/365(c) based on the following provisional, nonprovisional and/or PCT international application(s):

Application No.	Filing Date	Application No.	Filing Date
(1) 60/252,415	November 22, 2000	(2)	
(3)		(4)	
(5)		(6)	

7. FOREIGN priority is claimed under 35 USC 119(a)-(d)/365(b) based on filing in

8.

Application No.	Filing Date	Application No.	Filing Date
(1)		(2)	
(3)		(4)	
(5)		(6)	

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Completion Under Rule 53(f)

9. \_\_\_\_\_ (No.) Certified copy (copies): ☐ attached; ☐ previously filed (date) \_\_\_\_\_  
in U.S. Application No. \_\_\_\_\_ / \_\_\_\_\_ filed on \_\_\_\_\_
10. Small Entity Status ☐ is Not claimed ☒ is claimed (file PAT-256 if this is the first claim of Small Entity Status)
11. ☐ Attached:
12. ☐ Preliminary Amendment:

**THE FOLLOWING FILING FEE IS BASED ON CLAIMS AS FILED LESS ANY ABOVE CANCELLED**

				Large/Small Entity		Fee Code
13. Basic Filing Fee . . . . . Design Application				\$330/\$165		106/26
Not Design Application				\$740/\$370	+370	101/201
14. Total Effective Claims	48	minus 20 =	28	x \$18/\$9	+252	103/203
15. Independent Claims	3	minus 3 =	0	x \$84/\$42	+0	102/202
16. If <u>any proper</u> multiple dependent claim (ignore improper) is present, (Leave this line blank if this is a reissue application)				\$280/\$140	+0	104/204
17. Surcharge for filing Declaration/filing fee late				\$130/\$65	+65	105/205
18. <b>FILING FEE ENCLOSED =</b>				<b>\$687</b>		
19. <b>Original due date:</b> January 28, 2002						
20. <b>Petition is hereby made</b> to extend the original due date to (1 mo) \$110/\$55 = +200 115/215						
cover the date this response is filed for which the requisite fee (2mos) \$400/\$200 = 116/216						
is attached (3mos) \$920/\$460 = 117/217						
(4mos) \$1,440/\$720 = 118/218						
21. If "non-English" box 3 is X'd, add Rule 17(k) processing fee . . . . .				\$130	+0	139
22. If "assignment" box 5 is X'd, add recording fee. . . . .				\$40	+40	581
23. Petition Fee for Filing of Application When a Joint Inventor Refuses to Execute Declaration				\$130	+130	
24. <b>TOTAL FEE ENCLOSED =</b>				<b>\$1057</b>		

Our Deposit Account No. 03-3975

Our Order No. 39600

271178

C#

M#

**CHARGE STATEMENT:** The Commissioner is hereby authorized to charge any fee specifically authorized hereafter, or any missing or insufficient fee(s) filed, or asserted to be filed, or which should have been filed herewith or concerning any paper filed hereafter, and which may be required under Rules 16-18 (missing or insufficiencies only) now or hereafter relative to this application and the resulting Official document under Rule 20, or credit any overpayment, to our Account/Order Nos. shown in the heading hereof for which purpose a duplicate copy of this sheet is attached. This CHARGE STATEMENT does not authorize charge of the issue fee until/unless an issue fee transmittal form is filed.

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**Pillsbury Winthrop LLP**  
**Intellectual Property Group**
**OFFICE OF PETITIONS**
1600 Tysons Boulevard  
McLean, VA 22102  
Tel: (703) 905-2000

By Atty: Jack S. Barufka

Reg. No. 37087

Sig: 
Fax: (703) 905-2500  
Tel: (703) 905-2012

Atty/Sec: JSB/lfm

**NOTE: File in duplicate with PTO receipt (PAT-103A) and attachments**



DAC #



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/988,824	11/20/2001	Reza P. Rassool	P 271178

00909  
PILLSBURY WINTHROP LLP  
1600 TYSONS BOULEVARD  
MCLEAN, VA 22102



CONFIRMATION NO. 8821

## FORMALITIES LETTER



\*OC000000007127252\*

Date Mailed: 11/28/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

## Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 370 to complete the basic filing fee for a small entity.*
- Total additional claim fee(s) for this application is \$252.  
    ■ \$252 for 28 total claims over 20.
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items to be filed in this letter.
- The balance due by applicant is \$ 687.

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*A copy of this notice **MUST** be returned with the reply.*

**RECEIVED**  
PILLSBURY WINTHROP LLP/VA

Customer Service Center

Initial Patent Examination Division (703) 308-1202

02/29/2002 SLUANG1 00000004 09988824

PART 1 - ATTORNEY/APPLICANT COPY

DEC 04 2001

01 FC:201  
02 FC:203  
03 FC:205

370.00 OP  
252.00 OP  
65.00 OP

CL 37600 MT# 271178  
ATTY(S) JSA CHM WJH  
DUE: 1-28-02  
DKT BY (1) JH (2) CWS



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re PATENT APPLICATION OF

RASSOOL et al.

Appln. No.: 09/988,824

Filed: November 20, 2001

Title: MEDIA TRACKING SYSTEM AND METHOD



Group Art Unit: Not Yet Assigned

Examiner: Unknown

#3

March 28, 2002

\* \* \* \* \*

**PETITION UNDER 37 C.F.R. § 1.47(a) for**  
**FILING OF APPLICATION WHEN A JOINT INVENTOR**  
**REFUSES TO EXECUTE DECLARATION**

Hon. Commissioner of Patents  
Washington, D.C. 20231

Sir:

In response to the November 28, 2001, Notice to File Missing Parts of Nonprovisional Application in the above-identified application, and due to the refusal of one of the joint inventors, William P. Worzel, to execute the subject application for patent, and pursuant to 37 C.F.R. § 1.47(a) and 35 U.S.C. 116, all of the available joint inventors of the above-identified patent application, Reza P. Rassool and Brian A. Baker, hereby petition that they may make the subject application for patent on behalf of themselves and on behalf of the joint inventor who refuses to join in the application, William P. Worzel.

1. **Declaration and Power of Attorney for Subject Application**

All of the available joint inventors, Reza P. Rassool and Brian A. Baker, have executed a Declaration and Power of Attorney submitted herewith on their own behalf and on behalf of the nonsigning joint inventor, William P. Worzel. The signature block of the nonsigning inventor was left blank.

03/29/2002 SLUANG1 00000004 09988824

05 FC:122

130.00 OP

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2. Statement of Facts Regarding Refusal of the Inventor William P. Worzel to Execute the Declaration

The law firm of Pillsbury Winthrop, LLP (hereafter referred to as "our firm") filed the subject patent application on November 20, 2001. Christine McCarthy (Reg. No. 41,844) of our firm sent Mr. Worzel a copy of the subject application (including the drawings and the claims) and the Declaration on February 25, 2002 by Federal Express (hereafter "FedEx"). A copy of the cover letter accompanying these materials is attached as Exhibit 1. These materials were delivered to the last know address of Mr. Worzel on February 26, 2002. A copy of a web page from the FedEx website confirming delivery to Mr. Worzel's last know address is attached as Exhibit 2.

Nick Holowach (Reg. No. 40,301) of our firm spoke with Mr. Worzel by telephone on or about March 7, 2002. Mr. Worzel acknowledged receiving the application and Declaration, but would not agree to participate in the prosecution of the application by reading the application, or reading and signing the Declaration. Mr. Worzel said he may or may not read the application or read and sign the Declaration, but would not state any time period in which would decide whether or not he would do so. A Declaration by Mr. Holowach attesting to these facts is submitted herewith.

I, the undersigned, sent a letter (attached as Exhibit 3) to Mr. Worzel on March 8, 2002 by FedEx informing him that unless we receive the executed Declaration (and an executed Assignment) from him by March 25, 2002, we would conclude that he refuses to sign the application papers. This letter was sent by FedEx. A copy of a web page from the FedEx website confirming delivery to Mr. Worzel's last know address is attached as Exhibit 4. To date our firm has received no response from Mr. Worzel.

These circumstances establish that Mr. Worzel refuses the execute the application papers.

3. Fee Set Forth in § 1.17(h)

The \$130 fee set forth in 35 C.F.R. § 1.17(h) is enclosed herewith. In the event this fee is insufficient or missing, the Commissioner is authorized to charge said fee to Deposit Account No. 03-3975, our Order No. 20826/280447.



4. Inventor's Last Known Address

The last known address of the sole inventor of the subject application is as follows:

William Worzel  
214 West Main Street  
Milan, MI 48160

To the best of our knowledge, the inventor is not represented by counsel.

\* \* \*

In view of the foregoing, granting of this Petition, completion of the subject application, issuance of an Official Filing Receipt, and examination of the subject application are respectfully requested.

Respectfully submitted,  
Pillsbury Winthrop LLP

By: 

Jack S. Barufka

Reg. No.: 37,087

Tel. No.: (703) 905-2012

Fax No.: (703) 905-2500

JSB/NLH/nlh



**IN THE UNITED STATES PATENT AND TRADEMARD OFFICE**

Re: Application No.: 09/988,824

Filed: November 20, 2001

**MEDIA TRACKING SYSTEM AND METHOD**

Inventors: Resa P. Rassool, Brian A. Baker and William P. Worzel

**DECLARATION**

I, Nicholas L. Holowach, Registration No. 40,301, of Kensington, Maryland, SAY AS  
FOLLOWS:

1. The firm of Pillsbury Winthrop, LLP is prosecuting the above-referenced application before the United States Patent and Trademark Office.
2. I am an attorney and a Registered Patent Agent employed by Pillsbury Winthrop, LLP (hereafter "my firm").
3. I spoke with Mr. William Worzel by telephone on or about March 7, 2002 concerning the above-referenced application.
4. Mr. Worzel said that he received the copy of the application, the Declaration and the Assignment for the above-referenced application my firm sent him on February 25, 2002.
5. Mr. Worzel said that he had not read the application, the Declaration or the Assignment and had no plans to read the application or to read and sign either the Declaration or the Assignment, and that he may or may not do so at some time in the future.
6. Mr. Worzel would not agree to set a deadline for reading the application or for reading and signing the Declaration or the Assignment.
7. Jack Barufka (Reg. No. 37,087) is a partner at Pillsbury Winthrop, LLP.



8. I prepared for Mr. Baruka's signature a letter (Exhibit 3) giving Mr. Worzel a March 25, 2002 deadline for reading the application and reading and signing the Declaration and the Assignment and informing him that unless we receive the executed Declaration and Assignment from him by this deadline, we will conclude that he refuses to sign the application papers and will be forced to continue prosecution without his participation or signature.

9. The letter was sent by FedEx on March 8, 2002 to the last known address of William Worzel.

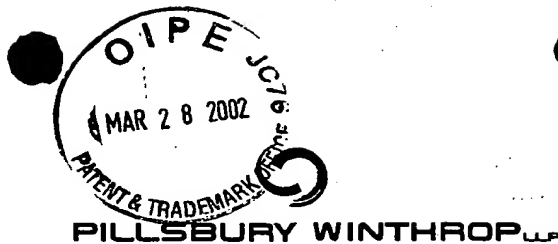
10. I confirmed that the letter was delivered on March 11, 2002 to the last known address of William Worzel (see Exhibit 4).

11. Our firm received no response from Mr. Worzel to date.

Nicholas Holowach March 28, 2002

Nicholas Holowach, Reg. No. 40,301





1600 TYSONS BOULEVARD MCLEAN, VA 22102 703.905.2000 F: 703.905.2500

February 25, 2002

Christine H. McCarthy  
703.905.2143

cmccarthy@pillsburywinthrop.com

**Via Federal Express**

William Worzel  
214 West Main Street  
Milan, MI 48160

Re: U.S. Patent Application of RASSOOL, et al. for  
MEDIA TRACKING SYSTEM AND METHOD  
Our Ref.: 39600/271178

Dear Mr. Worzel:

At the request of Widevine Technologies, Inc., our law firm prepared and filed a patent application for a Media Tracking System and Method. You were identified and are listed as a joint inventor for that application along with Reza Rassool and Brian Baker. The patent application was filed in the United States Patent and Trademark Office on November 20, 2001. A copy of the application is enclosed for your records.

According to the terms of your employment agreement with Widevine, you are required to assign your rights to the invention disclosed and claimed in this application to Widevine and to assist in the prosecution of the application. Accordingly, we have enclosed a Declaration and Assignment for your review and signature. Please review the application and read and sign the Declaration and Assignment. Please return the executed documents to our offices as soon as possible so that we may file them in the Patent Office. A stamped and addressed return envelope is provided for your convenience.

The Patent Office Rules 56, 97 and 98 require disclosure of any prior art known to be material to patentability and encourage the filing of an "Information Disclosure Statement" within three months of the filing date. This provides a means of complying with the duty of disclosing prior art as required by Rule 56. See herewith pertinent portions of Rules 56(a, b), 97(b) and 98(a). Please advise whether any relevant art is known so that we may act accordingly.

Failure to cite material prior art or related cases at all or even timely could result in the patent being held unenforceable for lack of due diligence.





PILLSBURY WINTHROP

William Worzel  
February 25, 2002  
Page 2

Thank you in advance, Bill, for your assistance. If you have any questions, please feel free to contact us.

Best regards,

Christine H. McCarthy

Enclosures



## DUTY OF DISCLOSURE

### Rule 56(a) & (b) (37 CFR 1.56(a) & (b))

(a)...Each individual associated with the filing and prosecution of a patent application has a duty of candor and good faith in dealing with the [Patent and Trademark] Office, which includes a duty to disclose to the Office all information known to that individual to be material to patentability ... (b)... information is material to patentability when it is not cumulative...and (1) It also establishes by itself or in combination with other information, a prima facie case of unpatentability of a claim or (2) refutes, or is inconsistent with, a position the applicant takes in: (i) Opposing an argument of unpatentability relied on by the Office, or (ii) Asserting an argument of patentability...

## INFORMATION DISCLOSURE STATEMENT

### Rule 97(b) (37 CFR 1.97(b))

(b) An information disclosure statement shall be considered by the Office [PTO] if filed: (1) Within three months of the filing date of a national application; (2) [or the completion] of the [PCT] national stage...or (3) Before the mailing date of a first Office Action on the merits, whichever occurs last.

### Rule 98(a) (37 CFR 1.98(a)) Content of Information Disclosure Statement.

(a) Any information disclosure statement filed . . . shall include: (1) A list of all [items] ...;(2) A legible copy of: (i) Each U.S. patent and foreign patent; (ii) Each publication... and (2) A concise explanation of the relevance, as it is presently understood by the individual...most knowledgeable about the content of...[the] patent, publication, or other information that is not in the English language...

\*Quote from MPEP 609 re examples of "concise explanation of relevance":

37 CFR 1.98(a) [Rule 98(a)] calls only for a concise explanation of the relevance of each listed [non-English] item. This may be nothing more than identification of the particular figure or paragraph [or sentence, abstract or claim] of the patent or publication which has some relation to the claimed invention. It might be a simple statement pointing to similarities between the item of information and the claimed invention. It is permissible but not necessary to discuss differences between the cited information and the claims. It is thought that the explanation of relevance will be useful to the examiner and should not be significantly burdensome for the applicant to prepare. A statement to the effect that an item is listed because it was cited during the prosecution of a counterpart foreign application and [that the item] is not considered material to the examination of the U.S. application is to be considered as satisfying the concise explanation requirement of 37 CFR 1.98(a).

[NOTE: No relevance explanation is ever required for English language documents. The requirement for such an explanation for each non-English document can be satisfied by merely filing an English version of a foreign counterpart search report stating a category for the non-English document.]

(Underlining and bracketed words added here.)



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**Tracking Number** 790321666059  
**Reference Number** 39600/271178/CHM/NLH  
**Ship Date** 02/25/2002  
**Delivered To**  
**Delivery Location** MILAN MI  
**Delivery Date/Time** 02/26/2002 12:00  
**Signed For By** 14302307  
**Service Type** Priority Pak

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EXHIBIT 2





PILLSBURY WINTHROP LLP

1600 TYSONS BOULEVARD MCLEAN, VA 22102 703.905.2000 F: 703.905.2500

March 8, 2002

Jack S. Barufka

703.905.2012

jbarufka@pillsburywinthrop.com

**VIA FEDERAL EXPRESS**

William Worzel  
214 West Main Street  
Milan, MI 48160

Re: U.S. Patent Application of RASSOOL, ET AL. FOR  
MEDIA TRACKING SYSTEM AND METHOD  
Our Ref.: 39600/271178

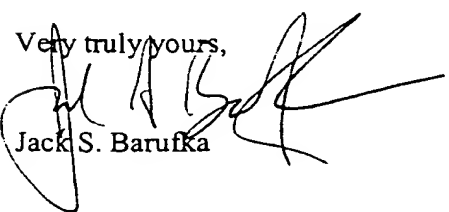
Dear Mr Worzel:

As you know from our previous communications, we represent Widevine Technologies and are currently seeking your help and cooperation in prosecuting the above-referenced patent application before the United States Patent and Trademark Office (the "USPTO") to procure issuance of this application as a U.S patent. Accordingly we sent you a copy of the application (including drawings and claims), a Declaration, an Assignment and a cover letter to you by FedEx on February 25th.

Because we had heard nothing from you since February 25<sup>th</sup>, Nick Holowach of our office called you yesterday. Unfortunately, you indicated during your telephone discussion that you will give us no assurance that you will cooperate in the prosecution of this application. Specifically, you would give us no assurance that you would read the application or that you would read and sign either the Declaration or the Assignment. Furthermore, you would not specify a time frame in which you would decide whether or not you would read and sign these documents.

Accordingly, this letter is to inform you that, because we face a deadline for filing the Declaration in the USPTO, **unless we receive the executed Assignment and Declaration for the Media Tracking System and Method patent application from you by March 25, 2002, we will conclude that you refuse to sign the application papers.** We will then be forced to continue prosecution of this application without your signature or participation. For your convenience, if you choose to sign and return the Declaration and Assignment, you may fax these signed documents to us at our fax number (703) 905-2500.

Very truly yours,

  
Jack S. Barufka





FedEx Express  
Customer Support Trace  
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Memphis, TN 38116

U.S. Mail: PO Box 727  
Memphis, TN 38194-4643

Telephone: 901-369-3600

3/26/2002

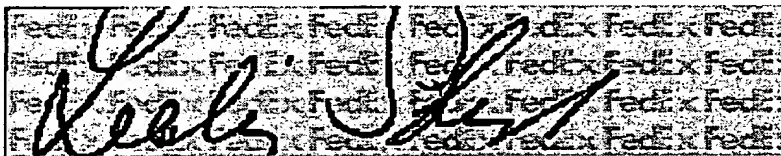
Dear Customer:

Here is the proof of delivery for the shipment with tracking number 830049886698. Our records reflect the following information.

---

**Delivery Information:**

Signed For By: L.SOBIL



Delivery Location: 214 W MAIN ST

Delivery Date: March 11, 2002

Delivery Time: 0911

---

**Shipping Information:**

Tracking No: 830049886698

Ship Date: March 8, 2002

**Recipient:**  
WILLIAM WORKEL  
-  
214 W MAIN ST  
MILAN, MI 48160  
US

**Shipper:**  
JACK S BARUFLA  
PILLSBURY WINTHROP  
1600 TYSONS BLVD  
MACLEAN, VA 221024865

**Shipment Reference Information:**

39600-271178

Thank you for choosing FedEx Express. We look forward to working with you in the future.

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**EXHIBIT 4**

<http://www.fedex.com/cgi-bin/spod>

3/26/02



**RECORDATION FORM COVER SHEET  
PATENT APPLICATIONS & PATENTS ONLY**

TO THE ASSISTANT COMMISSIONER OF PATENTS AND TRADEMARKS:  
SIR: PLEASE RECORD THE ATTACHED ORIGINAL DOCUMENTS OR COPY THEREOF.

## 1. NAME OF CONVEYING PARTY(IES) (ASSIGNORS(S)):

1. Reza P. RASSOOL

3. Brian A. BAKER

5.

7.

2.

4.

6.

8.

ADDITIONAL NAME(S) OF CONVEYING PARTY(IES) ATTACHED? ☐ YES ☒ NO

## 2. PARTY(IES) (ASSIGNEE(S)) RECEIVING INTEREST:

NAME: Widevine Technologies, Inc.

ADDRESS: 900 Fourth Avenue, Suite 3400, Seattle, WA 98164

ADDITIONAL NAME(S) & ADDRESS(ES) ATTACHED? ☐ YES ☒ NO

## 3. NATURE OF CONVEYANCE (DOCUMENT):

(Submit herewith only one document for recordation—multiple copies of same Assignment signed by different inventors is one document)

☒ ASSIGNMENT OF ☒ WHOLE ☐ PART INTEREST  
☒ ORIGINAL ☐ FACSIMILE/PHOTOCOPY  
☐ CHANGE OF NAME ☐ VERIFIED TRANSLATION  
☐ SECURITY ☐ MERGER ☐ OTHER:

EXEC. DATE: January 31, 2002 and February 5, 2002, respectively

EXECUTION DATE(S) ON THE DECLARATION IF FILED HEREWITH: (**NOTE:** IF DATES ON DECLARATION AND ASSIGNMENT DIFFER SEE ATTY!)4.5 APPL. NO.(S) OR PAT NO.(S). OTHERS ON ADDITIONAL SHEET(S) attached? ☐ YES ☒ NO

A. PAT. APP. NO.(S) series/code/serial no	M#	1 <sup>st</sup> INVENTOR if not in item 1	B. PATENT NO(S)	M#	1 <sup>st</sup> INVENTOR if not in item 1
09/988,824	271178				

5. Name & Address of Party to Whom Correspondence  
Concerning Document Should be Mailed:

**Pillsbury Winthrop LLP**  
**Intellectual Property Group**  
 1600 Tysons Boulevard  
 McLean, VA 22102

6. NUMBER INVOLVED:

APPLNS 1 + PATS \_\_\_\_ = TOTAL = 1

7. AMOUNT OF FEE ENCLOSED: (Code 581)  
ABOVE TOTAL x \$40 = \$40

5.5 ATTY DKT:

P 271178

8. IF ABOVE FEE IS MISSING OR INADEQUATE CHARGE  
INSUFFICIENCY TO DEPOSIT ACCOUNT NUMBER: 03-3975

UNDER ORDER NO

39600

271178

MATTER NO.

CLIENT REF.

dup. sheet not required

CLIENT NO.

MATTER NO.

9. To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

10. Total number of pages including this  
cover sheet, attachments and document  
(do not file dup. Cover sheet)

3

Signature

Attorney: Jack S. Barufka

Reg. No. 37087

Date: March 28, 2002

Atty/Sec: JSB/lfm

TEL: (703) 905-2012

FAX: (703) 905-2500

FILE WITH PTO RETURN RECEIPT (PAT-103A)



Please return signed/recorded to:  
Pillsbury Winthrop LLP  
Intellectual Property Group  
1600 Tysons Boulevard  
McLean, VA 22102

Atty. Dkt. PMS 271178 | Client Ref.  
M#

**ASSIGNMENT**  
**of U.S. Origin Patent Application**

COPY

WHEREAS, the undersigned, to wit:

- |                           |                             |
|---------------------------|-----------------------------|
| 1) <u>Reza P. Rassool</u> | 2) <u>William P. Worzel</u> |
| 3) <u>Brian A. Baker</u>  | 4) _____                    |
| 5) _____                  | 6) _____                    |
| 7) _____                  | 8) _____                    |

(hereinafter collectively ASSIGNOR), has/have made an invention known as Dkt. 271178

and entitled: MEDIA TRACKING SYSTEM AND METHOD

for which an application for Letters Patent of the United States

- ☐ was executed even date herewith and is about to be filed in the United States Patent and Trademark Office;  
☒ was filed on November 20, 2001, Appln. No. /not yet assigned;

AND WHEREAS Widvine Technologies, Inc.

(hereinafter ASSIGNEE), duly organized and existing under the laws of the State of Delaware  
and having its principal office and place of business at 900 Fourth Avenue, Suite 3400, Seattle, WA 98164  
desires to acquire an interest therein;

NOW, THEREFORE, in consideration of Ten Dollars (\$10.00) and other good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, the said ASSIGNOR, does hereby sell, assign and transfer unto ASSIGNEE, its successors, assigns and legal representatives, the full and exclusive right, title and interest to the said invention in the United States and all foreign countries, as described in the aforesaid application, and to the said application and to all continuations, divisions, reissues and substitutes of said application, together with the right of priority under the International Convention for the Protection of Industrial Property, Inter-American Convention Relating to Patents, Designs and Industrial Models, and any other international agreements to which the United States of America adheres, and ASSIGNOR hereby authorizes and requests the Commissioner of Patents to issue said Letters Patent to ASSIGNEE, for its interest as ASSIGNEE, its successors, assigns and legal representatives.



AND ASSIGNOR hereby agrees to execute any papers requested by ASSIGNEE, its successors, assigns and legal representatives, deemed essential to ASSIGNEE's full protection and title in and to the invention hereby transferred.

ASSIGNOR furthermore agrees upon request of said ASSIGNEE, and without further remuneration, to execute any and all papers desired by said ASSIGNEE for the filing and granting of foreign applications and the perfecting of title thereto in said ASSIGNEE.

NOTE: The undersigned hereby authorizes Pillsbury Winthrop LLP of the above address to insert hereon any further identification necessary or desirable for recordation of this document.

Executed on the date(s) below indicated.

Signature

Date Signed

Witness

1)   
Name: Reza P. Rassool

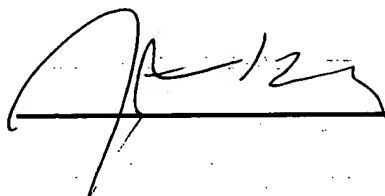
1/31/2002

Ruth Rassool

2) \_\_\_\_\_  
Name: William P. Worzel

2/5/2002

3)   
Name: Brian A. Baker



4) \_\_\_\_\_  
Name:

\_\_\_\_\_

\_\_\_\_\_

5) \_\_\_\_\_  
Name:

\_\_\_\_\_

\_\_\_\_\_

6) \_\_\_\_\_  
Name:

\_\_\_\_\_

\_\_\_\_\_

7) \_\_\_\_\_  
Name:

\_\_\_\_\_

\_\_\_\_\_

8) \_\_\_\_\_  
Name:

\_\_\_\_\_

\_\_\_\_\_



FOR UTILITY/DESIGN  
CIP/PCT NATIONAL/PLANT  
ORIGINAL/SUBSTITUTE/SUPPLEMENTAL  
DECLARATIONS

MAR 28 2002

RULE 63 (37 C.F.R. 1.31)  
DECLARATION AND POWER OF ATTORNEY  
FOR PATENT APPLICATION  
IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

PW  
FORM

As a below named inventor, I hereby declare that my residence, post office address and citizenship are as stated below next to my name, and I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the INVENTION ENTITLED MEDIA TRACKING SYSTEM AND METHOD

the specification of which (CHECK applicable BOX(ES) )  
X BOX(ES) → A. ☐ is attached hereto.  
→ B. ☒ was filed on November 20, 2001 as U.S. Application No. /not yet assigned  
→ C. ☐ was filed as PCT International Application No. PCT/ / on  
and (if applicable to U.S. or PCT application) was amended on

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above. I acknowledge the duty to disclose all information known to me to be material to patentability as defined in 37 C.F.R. 1.56. Except as noted below, I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or 365(b) of any foreign application(s) for patent or inventor's certificate, or 365(a) of any PCT International Application which designated at least one other country than the United States, listed below and have also identified below any foreign application for patent or inventor's certificate, or PCT International Application, filed by me or my assignee disclosing the subject matter claimed in this application and having a filing date (1) before that of the application on which priority is claimed, or (2) if no priority claimed, before the filing date of this application:

PRIOR FOREIGN APPLICATION(S) Number	Country	Day/MONTH/Year Filed	Date first Laid- open or Published	Date Patented or Granted	Priority NOT Claimed
--	---------	----------------------	---------------------------------------	-----------------------------	----------------------

If more prior foreign applications, X box at bottom and continue on attached page.

Except as noted below, I hereby claim domestic priority benefit under 35 U.S.C. 119(e) or 120 and/or 365(c) of the indicated United States applications listed below and PCT international applications listed above or below and, if this is a continuation-in-part (CIP) application, insofar as the subject matter disclosed and claimed in this application is in addition to that disclosed in such prior applications, I acknowledge the duty to disclose all information known to me to be material to patentability as defined in 37 C.F.R. 1.56 which became available between the filing date of each such prior application and the national or PCT international filing date of this application:

PRIOR U.S. PROVISIONAL, NONPROVISIONAL AND/OR PCT APPLICATION(S) Application No. (series code/serial no.)	Day/MONTH/Year Filed	Status pending, abandoned, patented	Priority NOT Claimed
60/252,415	November 22, 2000	Abandoned	

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

And I hereby appoint Pillsbury Winthrop LLP, Intellectual Property Group, telephone number (703) 905-2000 (to whom all communications are to be directed), and persons of that firm who are associated with USPTO Customer No. 909 (see below label) individually and collectively my attorneys to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith and with the resulting patent, and I hereby authorize them to delete from that Customer No. names of persons no longer with their firm, to add new persons of their Firm to that Customer No., and to act and rely on instructions from and communicate directly with the person/assignee/attorney/firm/ organization who/which first sends/sent this case to them and by whom/which I hereby declare that I have consented after full disclosure to be represented unless/until I instruct the above Firm and/or an attorney of that Firm in writing to the contrary.

USE ONLY FOR  
PILLSBURY WINTHROP



00909

(1) INVENTOR'S SIGNATURE:

Date:

Name	Reza	P.	RASSOOL
First	Middle Initial	Family Name	
Residence	Stevenson Ranch	California	United Kingdom
City	State/Foreign Country	Country of Citizenship	
Mailing Address	c/o Widevine Technologies, Inc., 900 Fourth Avenue, Suite 3400, Seattle, WA		
(include Zip Code)	98164		

(2) INVENTOR'S SIGNATURE:

Date:

Name	William	P.	WORZEL
First	Middle Initial	Family Name	
Residence	Milan	Michigan	United States
City	State/Foreign Country	Country of Citizenship	
Mailing Address	c/o Widevine Technologies, Inc., 900 Fourth Avenue, Suite 3400, Seattle, WA		
(include Zip Code)	98164		

☒ FOR ADDITIONAL INVENTORS see attached page.  
☐ See additional foreign priorities on attached page (incorporated herein by reference).

Atty. Dkt. No. P271178

(M#)



## DECLARATION AND POWER OF ATTORNEY

(continued)

## ADDITIONAL INVENTORS:

#6

(3) INVENTOR'S SIGNATURE: 

Date:

	Brian	A.	BAKER
	First	Middle Initial	Family Name
Residence	Bellevue	Washington	United States
	City	State/Foreign Country	Country of Citizenship
Mailing Address	c/o Widevine Technologies, Inc., 900 Fourth Avenue, Suite 3400, Seattle, WA		
(include Zip Code)	98164		

(4) INVENTOR'S SIGNATURE:

Date:

	First	Middle Initial	Family Name
Residence			
	City	State/Foreign Country	Country of Citizenship
Mailing Address			
(include Zip Code)			

(5) INVENTOR'S SIGNATURE:

Date:

	First	Middle Initial	Family Name
Residence			
	City	State/Foreign Country	Country of Citizenship
Mailing Address			
(include Zip Code)			

(6) INVENTOR'S SIGNATURE:

Date:

	First	Middle Initial	Family Name
Residence			
	City	State/Foreign Country	Country of Citizenship
Mailing Address			
(include Zip Code)			

(7) INVENTOR'S SIGNATURE:

Date:

	First	Middle Initial	Family Name
Residence			
	City	State/Foreign Country	Country of Citizenship
Mailing Address			
(include Zip Code)			

(8) INVENTOR'S SIGNATURE:

Date:

	First	Middle Initial	Family Name
Residence			
	City	State/Foreign Country	Country of Citizenship
Mailing Address			
(include Zip Code)			

(9) INVENTOR'S SIGNATURE:

Date:

	First	Middle Initial	Family Name
Residence			
	City	State/Foreign Country	Country of Citizenship
Mailing Address			
(include Zip Code)			

RECEIVED  
APR 01 2002

OFFICE OF PETITIONS



**Rule 56(a) & (b) = 37 C.F.R. 1.56(a) & (b)**  
**PATENT AND TRADEMARK CASES - RULES OF PRACTICE**  
**DUTY OF DISCLOSURE**

- (a) ...Each individual associated with the filing and prosecution of a patent application has a duty of candor and good faith in dealing with the [Patent and Trademark] Office, which includes a duty to disclose to the Office all information known to that individual to be material to patentability... (b) information is material to patentability when it is not cumulative and (1) It also establishes by itself, or in combination with other information, a prima facie case of unpatentability of a claim or (2) refutes, or is inconsistent with, a position the applicant takes in: (i) Opposing an argument of unpatentability relied on by the Office, or (ii) Asserting an argument of patentability

**PATENT LAWS 35 U.S.C.**

**§102. Conditions for patentability; novelty and loss of right to patent**

A person shall be entitled to a patent unless--

- (a) the invention was known or used by others in this country, or patented or described in a printed publication in this or a foreign country, before the invention thereof by the applicant for patent or
- (b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of the application for patent in the United States, or
- (c) he has abandoned the invention, or
- (d) the invention was first patented or caused to be patented, or was the subject of an inventor's certificate, by the applicant or his legal representatives or assigns in a foreign country prior to the date of the application for patent in this country on an application for patent or inventor's certificate filed more than twelve months\* before the filing of the application in the United States, or
- (e) the invention was described in a patent granted on an application for patent by another filed in the United States before the invention thereof by the applicant for patent, or on an international application by another who has fulfilled the requirements of paragraphs (1), (2), and (4) of section 371(c) of this title before the invention thereof by the applicant for patent, or
- (f) he did not himself invent the subject matter sought to be patented, or
- (g) before the applicant's invention thereof the invention was made in this country by another who had not abandoned, suppressed, or concealed it. In determining priority of invention there shall be considered not only the respective dates of conception and reduction to practice of the invention, but also the reasonable diligence of one who was first to conceive and last to reduce to practice, from a time prior to conception by the other.

**§103. Condition for patentability; non-obvious subject matter**

- (a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made. . . .
- (c) Subject matter developed by another person, which qualified as prior art only under subsection (f) or (g) of section 102 of this title, shall not preclude patentability under this section where the subject matter and the claimed invention were, at the time the invention was made, owned by the same person or subject to an obligation of assignment to the same person.

\* Six months for Design Applications (35 U.S.C. 172).